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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/045,629	10/25/2001	2821	0.00	C01104/70091 RFG	20	54	7

23628  
WOLF GREENFIELD & SACKS, PC  
FEDERAL RESERVE PLAZA  
600 ATLANTIC AVENUE  
BOSTON, MA 02210-2211

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CONFIRMATION NO. 3677

FILING RECEIPT



\*OC000000007869851\*

Date Mailed: 04/15/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

**Domestic Priority data as claimed by applicant**

THIS APPLN CLAIMS BENEFIT OF 60/243,250 10/25/2000  
AND CLAIMS BENEFIT OF 60/296,377 06/06/2001  
AND CLAIMS BENEFIT OF 60/297,828 06/13/2001  
AND CLAIMS BENEFIT OF 60/290,101 05/10/2001  
AND A CIP OF 09/669,121 09/25/2000  
WHICH IS A CON OF 09/425,770 10/22/1999 PAT 6,150,774  
WHICH IS A CON OF 08/920,156 08/26/1997 PAT 6,016,038  
THIS APPLICATION 10/045,629  
IS A CIP OF 09/215,624 12/17/1998  
AND A CIP OF 09/213,607 12/17/1998  
AND A CIP OF 09/213,189 12/17/1998  
AND A CIP OF 09/213,581 12/17/1998  
AND A CIP OF 09/213,540 12/17/1998  
AND A CIP OF 09/333,739 06/15/1999  
AND A CIP OF 09/344,699 06/25/1999  
AND A CIP OF 09/616,214 07/14/2000  
AND A CIP OF 09/870,418 05/30/2000 → 65|31|2001  
AND A CIP OF 09/805,368 03/13/2001  
AND A CIP OF 09/805,590 03/13/2001  
AND A CIP OF 09/870,193 05/30/2001  
AND A CIP OF 09/742,017 12/20/2000  
WHICH IS A CON OF 09/213,548 12/17/1998 PAT 6,166,496  
THIS APPLICATION 10/045,629  
IS A CIP OF 09/815,418 03/22/2001 WHICH ALSO IS A CON OF 09/213,548 12/17/1998 PAT 6,166,496  
AND CLAIMS BENEFIT OF 60/071,281 12/17/1997

File Folder	<input type="checkbox"/>	Initials
ECS	<input checked="" type="checkbox"/>	
Docket Entry	<input checked="" type="checkbox"/>	DAW
Docket Cross Off	<input checked="" type="checkbox"/>	
Order Copies	<input checked="" type="checkbox"/>	
Ammendments	<input type="checkbox"/>	
Confirmation	<input type="checkbox"/>	

10/25/02 (2) a/c

1-04-03

5/15/02

DOCKETED
APR 19 2002

65|31|2001 → 12/17/1998 PAT 6,166,496

AND CLAIMS BENEFIT OF 60/068,792 12/24/1997  
AND CLAIMS BENEFIT OF 60/078,861 03/20/1998  
AND CLAIMS BENEFIT OF 60/079,285 03/25/1998  
AND CLAIMS BENEFIT OF 60/090,920 06/26/1998  
(\*) Data inconsistent with PTO records.

**Foreign Applications**

**If Required, Foreign Filing License Granted** 04/12/2002

**Projected Publication Date:** To Be Determined - pending completion of Missing Parts

**Non-Publication Request:** No

**Early Publication Request:** No

**\*\* SMALL ENTITY \*\***

**Title**

Methods and apparatus for controlling illumination

**Preliminary Class**

315

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



# UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/045,629	10/25/2001	Frederick M. Morgan	C01104/70091 RFG

## CONFIRMATION NO. 3677

23628  
WOLF GREENFIELD & SACKS, PC  
FEDERAL RESERVE PLAZA  
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BOSTON, MA 02210-2211



\*OC00000008606819\*

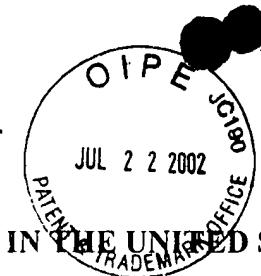
Date Mailed: 08/09/2002

## RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT

### Application Filing Date

In response to your request for a corrected Filing Receipt, the Office is unable to comply with your request because:

- The correct application number appears on the Filing Receipt. Your postcard included an incorrect application number. Please update your records to reflect the application number on the enclosed Filing Receipt. See MPEP 503.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a request for a corrected Filing Receipt should be submitted along with a copy of the Express Mail label showing the "date in."
- A copy of the Express Mail label was not enclosed with your request. Please resubmit.
- The date on the Express Mail label is the date given on the Filing Receipt.
- The filing date accorded to the application is the date the application met the filing date requirements of 37 CFR 1.53(b) or (c).
- Filing date of a parent application cannot be changed by this request. A request for corrected Filing Receipt must be directed to such parent application.
- Applications submitted under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the U.S. Patent and Trademark Office.
- The filing date on your return postcard is the same as the date on your Filing Receipt.

ATTORNEY'S DOCKET NO: C01104/70091 (JT)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Frederick M. Morgan, Ihor A. Lys, George G. Mueller, Kevin J. Dowling  
Serial No: 10/045,629  
Confirmation No: 3677  
Filed: October 25, 2001  
For: METHODS AND APPARATUS FOR CONTROLLING ILLUMINATION  
  
Examiner: Unassigned  
Art Unit: 2821

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to the Commissioner for Patents, Washington, D.C. 20231, on the 15th day of July, 2002.

*Janine Michalski*  
Janine Michalski

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BOX: MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

**RESPONSE TO THE NOTICE TO FILE MISSING PARTS**

Sir:

In response to the Notice to File Missing Parts dated April 15, 2002, Applicants respectfully submit for filing an original document entitled Declaration for Patent Application and Formal Drawings.

Applicants also respectfully note here that the Domestic Priority Data as Claimed by Applicants appearing on the filing receipt following this Response is incorrect. Please correct the enclosed filing receipt with the desired changes as marked in red, and forward a corrected filing receipt to us at your earliest convenience.

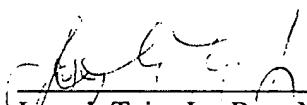
The enclosed check for \$964.00 includes the fee for payment of the basic filing fee, the surcharge for the filing of the late declaration, the fee for additional claims and a One Month

Extension. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

Frederick M. Morgan. et al., Applicants

By:

  
Joseph Teja, Jr., Reg. No. 45,157  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. (617) 720-3500  
Attorneys for Applicants

Docket No. C01104/70091 (JT)

Dated: July 15, 2002



ATTORNEY'S DOCKET NO: C01104/70091 (JT)

Receipt \$  
#6

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Frederick M. Morgan, Ihor A. Lys, George G. Mueller, Kevin J. Dowling  
Serial No: 10/045,629  
Confirmation No: 3677  
Filed: October 25, 2001  
For: METHODS AND APPARATUS FOR CONTROLLING ILLUMINATION  
Examiner: Unassigned  
Art Unit: 2821

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to the Commissioner for Patents, Washington, D.C. 20231, on the 15th day of July, 2002.

*Janine Michalski*  
Janine Michalski

BOX: MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

**COPY OF PAPERS  
ORIGINALLY FILED**

Sir:

TRANSMITTAL LETTER

Transmitted herewith for filing are the following documents:

- RESPONSE TO THE NOTICE TO FILE MISSING PARTS
- COPY OF NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION
- DECLARATION FOR PATENT APPLICATION
- COPY OF FILING RECEIPT MARKED WITH CORRECTIONS IN RED
- PETITION FOR ONE MONTH EXTENSION OF TIME
- LETTER TO THE OFFICIAL DRAFTSPERSON
- TWENTY (20) SHEETS OF FORMAL DRAWINGS (FIGS. 1-20)
- RETURN POSTCARD

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned collect at (617)720-3500, Boston, Massachusetts.

A check in the amount of \$964.00 is enclosed to cover the basic filing fee, the surcharge for the filing of the late declaration, the fee for additional claims, and a One Month Extension. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

Frederick M. Morgan, et al., Applicants

By:

*J. Teja, Jr.*  
Joseph Teja, Jr., Reg. No. 45,157  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. (617) 720-3500  
Attorneys for Applicants

Docket No. C01104/70091 (JT)  
Dated: July 15, 2002  
X (7/15/02)



ATTORNEY'S DOCKET NO: C01104/70091 (JT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Frederick M. Morgan, Ihor A. Lys, George G. Mueller, Kevin J. Dowling  
Serial No: 10/045,629  
Confirmation No: 3677  
Filed: October 25, 2001  
For: METHODS AND APPARATUS FOR CONTROLLING ILLUMINATION  
  
Examiner: Unassigned  
Art Unit: 2821

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to the Commissioner for Patents, Washington, D.C. 20231, on the 15th day of July, 2002.

*Janine Michalski*  
\_\_\_\_\_  
Janine Michalski

BOX: MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

COPY OF PAPERS  
ORIGINALLY FILED

LETTER TO THE OFFICIAL DRAFTSPERSON

Sir:

We enclose twenty (20) sheets of formal drawings (Figs. 1-20) for the above-identified patent application.

Please charge any fees or credit any overpayment to Deposit Account 23/2825.

Respectfully submitted,

Frederick M. Morgan, et al., Applicants

By: *J. Teja Jr.*

Joseph Teja, Jr., Reg. No. 45,157  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. (617) 720-3500  
Attorneys for Applicants

Docket No. C01104/70091 (JT)  
Dated: July 15, 2002



**UNITED STATES PATENT AND TRADEMARK OFFICE**



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/045,629	10/25/2001		C01104/70091 RFG

23628  
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BOSTON, MA 02210-2211

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**FORMALITIES LETTER**



\*OC000000007863494\*

Date Mailed: 04/15/2002

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$474.
  - \$306 for 34 total claims over 20.
  - \$168 for 4 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 909.

07/24/2002 MABDI1 00000023 10045629

01 FC:201	370.00 OP
02 FC:202	168.00 OP
03 FC:203	306.40 OP
04 FC:205	65.00 OP
05 FC:215	55.00 OP

*Copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE